

eZ-Audit
Use-Case Specification 14: Approve Resolution
Documents

Version 1.1

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Use-Case Specification 14: Approve Resolution Documents	Date: August 7, 2002
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Revision History

Date	Version	Description	Author
July 17, 2002	1.0	Final version created for 7/17 Deliverable Submission	Seth Sinclair
August 7, 2002	1.1	<p>Updated to reflect approval of multiple submission types.</p> <p>Basic Flow- Step 2 – Consolidated queues and added ability to handle multiple submission types. Added Submission Type and Status as values in the queue.</p> <p>2.1 – Step 4 – Added in left navigation options for all submission types.</p> <p>Revised version created for deliverable re-submission</p>	Seth Sinclair

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Use-Case Specification 14: Approve Resolution Documents

1. Approve Resolution Documents

1.1 Brief Description

After an Audit Resolution Specialist (ARS) completes the DDIF, ACD, and FAD or a Financial Analyst (FA) creates a determination for Financial Statements, they will need to send these finished documents or “resolution package” to a Co-Team Leader for review and approval. See Extension Point – Use Case 17 “Send to Co-Team Leader for Approval” for details of the resolution package submission process. Once the Co-Team leader approves the resolution package, the institution record can be sent back to the ARS or FA for final date tracking and archival. The purpose of this Use Case is to address the Co-Team leader’s ability to view and approve the resolution package submitted by the Case Team ARS or Financial Analyst.

2. Flow of Events

2.1 Basic Flow

1) Co-Team Leader actor logs into the system

The System verifies the user’s role of “Co-Team Leader” through the Login Process. See Extension Point - Use Case 3 “Login to System” for details of the Log In Process.

2) System presents the Co-Team Leader Home Page with “Pending Approval” Queue

The system presents a queue to the Co-Team Leader Actor containing all reviewed submissions pending approval. A record appears in this queue once an ARS or FA completes their review and determination of an institution’s submission. For each institution record appearing in these queues, the following data is displayed

- Institution Name (link)
- OPEID
- Fiscal Year End
- Date Assigned
- Submission Type
- Submission Status (Set to “Pending Approval”)
- Resolution Due Date
- Assigned To: (displays responsible ARS or FA)
- Date Submitted for Approval

For each package appearing in the queue, the system presents to the Co-Team Leader actor the option of viewing the resolution package (by selecting the “Institution Name” link), approving the package (by selecting an “Approve” button), or returning the package to the analyst for further work (by selecting “Return” button).

There is a second queue on the page for assigning submissions, see Extension Point – Use Case 13 “Assign Submissions” for details on this queue.

3) Co-Team Leader actor Selects to view the resolution “package”

The Co-Team Leader actor selects to view the resolution package by clicking on the “Institution Name”

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within the submission record.

4) System presents the Resolution Package

A navigation-driven page is presented to the Co-Team leader with the Institution Summary displayed in the content area. See Extension Point - Use Case 15 "Select Institution" for details of the Summary Page. The navigation provides the ability to view all of the information for the selected institution's resolution package. For an Annual Submission or Stub Audit Submission, this includes links to access:

Link	Destination
eZ-Audit Home	Returns User to Pending Approval Queue
Summary Page	Displays Institution Summary Data – See Extension Point Use Case 15 "Select an Institution"
Financial Statements Information	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 "Create Submission"
Program and Audit Information	Displays a read-only version of the Program and Audit Statements Information Page Submitted by the Institution – See Extension Point Use Case 9 "Create Submission"
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 "Create Submission"
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 "Create Submission"
View Findings	Displays a read-only version of the finding codes assigned by the Screener/Case User – See Extension Point Use Case 10 "Code Findings"
View PADL	Displays a read-only version of the PADL Page – See Extension Point Use Case 16 "Upload PADL"
View ACD	Displays a read-only version of the complete ACD Form – See Extension Point Use Case 21 "Complete ACD"
View DDIF	Displays a read-only version of the complete DDIF Form – See Extension Point Use Case 20 "Complete DDIF"
View FAD	Displays a read-only version of the FAD Page, including an attachment of the FAD letter – See Extension Point Use Case 19 "Upload FAD"
Create Determination for Financial Statement	Displays a read-only version of the the Financial Statement determination page, including the ability to view letters such as the Request for LOC or Zone Letter– See Extension Point Use Case 23 "Create Determination for Financial Statement"
Recalculate Scores and Ratios	Displays a read-only version the Composite Score and Ratios – See Extension Point Use Case 22 "Recalculate Scores and Ratios"
Notes	Displays the Notes Page
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 "Correspondence Log"

For a Closeout submission, this includes links to access the:

Link	Destination
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eZ-Audit Home	Returns Co-Team User to “Pending Assignment” Page
Program and Audit Information	Displays a read-only version of the Program and Audit Statements Information Page Submitted by the Institution – See Extension Point Use Case 9 “Create Submission”
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 “Create Submission”
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 “Create Submission”
View Findings	Displays a read-only version of the finding codes assigned by the Screener/Case User – See Extension Point Use Case 10 “Code Findings”
View PADL	Displays a read-only version of the PADL Page – See Extension Point Use Case 16 “Upload PADL”
View ACD	Displays a read-only version of the complete ACD Form – See Extension Point Use Case 21 “Complete ACD”
View DDIF	Displays a read-only version of the complete DDIF Form – See Extension Point Use Case 20 “Complete DDIF”
View FAD	Displays a read-only version of the FAD Page, including an attachment of the FAD letter – See Extension Point Use Case 19 “Upload FAD”
Notes	Displays the Notes Page
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 “Correspondence Log”

For a Reinstatement or Initial Application submission, this includes links to access the:

Link	Destination
eZ-Audit Home	Returns Co-Team User to “Pending Assignment” Page
Financial Statements Information	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 “Create Submission”
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 “Create Submission”
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 “Create Submission”
Create Determination for Financial Statement	Displays a read-only version of the the Financial Statement determination page, including the ability to view letters such as the Request for LOC or Zone Letter– See Extension Point Use Case 23 “Create Determination for Financial Statement”
Recalculate Scores and Ratios	Displays a read-only version the Composite Score and Ratios – See Extension Point Use Case 22 “Recalculate Scores and Ratios”
Notes	Displays the Notes Page
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 “Correspondence Log”

For a Change in Ownership submission, this includes links to access the:

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Link	Destination
eZ-Audit Home	Returns Co-Team User to “Pending Assignment” Page
Financial Statements Information	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 “Create Submission”
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 “Create Submission”
Create Determination for Financial Statement	Displays a read-only version of the the Financial Statement determination page, including the ability to view letters such as the Request for LOC or Zone Letter– See Extension Point Use Case 23 “Create Determination for Financial Statement”
Recalculate Scores and Ratios	Displays a read-only version the Composite Score and Ratios – See Extension Point Use Case 22 “Recalculate Scores and Ratios”
Notes	Displays the Notes Page
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 “Correspondence Log”

5) Co-Team Leader actor Selects to return to the Home Page

The Co-Team Leader actor selects the option to return to the “Home”/Co-Team Leader Pending Approval Queue.

6) System presents the Co-Team Leader Home Page with “Pending Approval” Queues

The system presents a queue to the Co-Team Leader Actor containing all reviewed submissions pending approval. See step #2 for details of the Home Page.

7) Co-Team Leader actor Selects to approve a resolution package

The Co-Team Leader actor selects to approve the resolution package by selecting the “approve” option for the record.

8) System removes the record from the queue and routes it to ARS/FA or to Archive

The system removes the institution record from the pending approval queue and returns the record to the ARS or FA queue for final date tracking and archival. The date of approval is tracked and displayed with the record. If the approved determination does not require further tracking, the system will archive the submission.

2.2 Alternative Flows

2.2.1 Co-Team Leader Chooses To Return the Submission Package

From Step 2 of the Basic Flow, the Co-Team Leader actor chooses to return the submission to the Case Member for further work/analysis.

1) Co-Team Leader Actor selects to return the resolution package

The Co-Team Leader actor selects to return the package by selecting the “return” option.

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2) System presents the “Notes” Page

The system presents a “notes” page to the user with a list of all comments made on the record, including username and timestamp for each entry. There is a blank text box for entering a new note/comment (450 character max). There is a return option and a cancel option.

3) Co-Team Leader Actor enters a note/comment

The Co-Team Leader enters a note/comment in the blank text box and selects the “return” option.

4) System returns the resolution package

The system saves the Co-Team Leader’s comment in the institution record’s notes page. The system removes the institution record from the Pending Approval queue and returns it to the queue of the responsible ARS or FA.

3. Special Requirements

No Special Requirements for this Use Case.

4. Preconditions

4.1 Co-Team Leader User Assigned System Role of “Approver”

The Co-Team Leader User’s profile was created/saved with the Approver in the User Management Area of eZ-Audit.

5. Postconditions

5.1 Institution Record Returned to Case Team Member

From both the Basic Flow and Alternate Flow, the Institution Record is returned to the ARS or FA for either further review or for final resolution tracking and archival.

6. Extension Points

6.1 Use Case 3 “Login to System”

Outlines eZ-Audit User’s ability to sign in to the system.

6.2 Use Case 9 “Create Submission”

Defines the data elements and submission process for an Institution User.

6.3 Use Case 15 “Select an Institution”

Explains the Case Team User’s ability to see their assigned queue and select an institution record.

6.4 Use Case 16 “Upload PADL”

Defines the process behind attaching and tracking the PADL letter.

6.5 Use Case 17 “Send to Co-Team Leader for Approval”

Outlines a Case Team User’s ability to send a resolution package to a Co-Team leader for approval.

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6.6 Use Case 18 “Correspondence Log”

Allows Case Team Users to track key dates for sending and receiving correspondence.

6.7 Use Case 19 “Upload FAD”

Defines the process behind attaching and tracking the FAD letter.

6.8 Use Case 20 “Complete DDIF”

Defines the process behind completing and saving the DDIF form.

6.9 Use Case 21 “Complete ACD”

Defines the process behind completing and saving the ACD form.

6.10 Use Case 22 “Recalculate Composite Scores and Ratios”

Covers the Financial Analyst’s ability to perform recalculations on submitted data.

6.11 Use Case 23 “Create Determination for Financial Statement”

Explains the FA’s process for selecting a resolutions and uploading any needed letters.

7. Requirements

GEN892 The system will track the date that the Co-Team leader approves the resolution of the audit (ACD, FAD, DDIF - must all have same date).

GEN1154 The system will queue the Audit Clearance Document (ACD) for Co-Team approval upon submission by ARS.

GEN 1155 The system will queue the Deficiency Data Input Form (DDIF) for Co-Team approval upon submission by ARS.

GEN1156 The system will queue the Final Audit Determination (FAD) for Co-Team approval upon submission by ARS.